



Transportation Security Administration

OFFICE OF INTERNAL AFFAIRS AND PROGRAM REVIEW

TSA MANAGEMENT DIRECTIVE No. 1200.1 OIAPR ROLES AND RESPONSIBILITIES

1. PURPOSE: This management directive identifies the roles and responsibilities of the Transportation Security Administration (TSA), Office of Internal Affairs and Program Review (OIAPR).

2. SCOPE: This Directive applies to all of TSA.

3. AUTHORITIES:

- A. The Homeland Security Act of 2002.
- B. The Aviation and Transportation Security Act of 2001.
- C. 31 U.S.C. §3512, "Executive Agency Accounting and Other Financial Management Reports and Plans."
- D. Memorandum between the Department of Homeland Security (DHS) Bureau of Transportation Security (BTS) and the DHS Inspector General, dated March 25, 2003.
- E. Other authorities as authorized by specific delegation from the TSA Administrator.

4. DEFINITIONS:

- A. Customer: TSA organizations and users of services available from OIAPR.
- B. Investigation: An investigation is a duly authorized, systematic, detailed examination to uncover the facts and determine the truth of a matter referred to OIAPR concerning employee misconduct and regulatory violations.
- C. Program Review: A program review is an inquiry initiated at the request of TSA officials or by OIAPR, which examines the extent to which a program is operating effectively and efficiently, and is meeting legislative or internal goals.
- D. Special Operations Testing: Unannounced, covert tests of security systems, personnel, equipment, and procedures at domestic airports, to obtain a snapshot of the effectiveness of airport passenger security checkpoint screening, airport access controls, and the Computer Assisted Passenger Prescreening System (CAPPS), to improve airport performance, safety and security. OIAPR plans to expand covert testing to other modes of transportation.

5. RESPONSIBILITIES:

OIAPR's mission is to ensure the integrity and effectiveness of TSA's employees and programs. OIAPR uses the full array of program review, investigation, and special operations testing expertise to provide products and services that target key program areas and issues

critical to TSA, the Bureau of Border and Transportation Security (BTS), the Department of Homeland Security (DHS), and Congress. OIAPR's value lies in its ability to provide TSA managers with independent, objective, and timely information on TSA operations, issues, programs and management matters. The program weaknesses OIAPR identifies and its recommendations for corrective actions, and the data supporting them, are obtained through independent, objective, balanced and unbiased procedures, and can lead to changes in legislation, regulations, policies and procedures, and practices. OIAPR's work may also lead to criminal charges, administrative sanctions, and civil and criminal penalties. To fulfill OIAPR's mission and the responsibilities and authorities listed herein, there is established the following OIAPR units:

- A. The **Assistant Administrator for Internal Affairs and Program Review** heads the office of Internal Affairs and Program Review, reports to the TSA Chief Support Systems Office, and performs the following functions:
 - (1) Responds to and investigates where appropriate, reports of incidents involving criminal and administrative employee misconduct, reports of incidents involving TSA's management and program activities, and serious or sensitive incidents that affect the mission of TSA.
 - (2) Assesses the effectiveness of TSA operational and administrative programs, and conducts covert security tests at selected airport, maritime, and land-based facilities to assess TSA security systems to determine if vulnerabilities exist.
- B. The Assistant Administrator for Internal Affairs and Program Review oversees the following offices within OIAPR:
 - (1) The **Office of Internal Affairs (OIA)** ensures the integrity and accountability of the operational and administrative activities of TSA and its employees. OIA investigates allegations, formal complaints, OIG referrals, and Hotline information of criminal and non-criminal misconduct to ensure that all TSA employees are accountable for their actions. OIA also investigates external criminal matters associated with TSA's civil regulatory violations and any other matter referred by BTS.
 - (2) The **Office of Program Reviews and Special Operations (OPRSO)** ensures and assesses the effectiveness of aviation, maritime and land transportation security programs and operations by conducting covert tests and program reviews to identify whether programs are meeting their objectives, and to recommend corrective actions when deficiencies are detected. **OPRSO** monitors new security technologies linked to Research and Development components to combat terrorism. It tracks OIAPR recommendations and required corrective actions by appropriate TSA offices. **OPRSO** also conducts follow-up reviews to ensure corrective action has been taken and ensure that the corrective action has addressed the deficiencies. It investigates or conducts special inquires when a specific security incident related to TSA's programs or

systems occurs, and reviews contract and grant financial and program performance.

- (3) The **Office of Program Analysis (OPA)** ensures the quality of the investigation, covert testing, and program review processes and the resulting reports. OPA also identifies trends and best practices affecting operational requirements, management issues and training enhancements. It provides liaison to the Office of Legislative Affairs, oversees OIAPR's performance measures and strategic planning process, assists in the preparation of congressional responses, and develops internal management reports.
- (4) The **Office of Resource Management (ORA)** develops and implements policies and procedures to ensure effective internal controls over expenditures, budget, deployment of human resources, information technology, property control, field operations support, quality of life initiatives, and *Freedom of Information Act* requests.
- (5) The **Advisory Committee** is responsible for liaison with the General Accounting Office (GAO), the DHS Office of Inspector General and other Offices of Inspector Generals, the Office of Public Affairs, TSA field entities, and the TSA Planning Board. The Advisory Committee also is responsible for in-house orientation of OIAPR regional employees, new employee orientation, transition planning, and researching and resolving policy issues.

C. **Customers:** OIAPR's customers are TSA, BTS, and DHS executive management, program officials and office heads; Congress, congressional and committee staff; DHS Office of Inspector General; other Inspector Generals; GAO; the Department of Justice and other Federal, state, and local law enforcement agencies; the transportation industry; the general public; and other parties, inside and outside of DHS, interested in improving the efficiency, effectiveness, and integrity of TSA programs and operations. OIAPR will meet periodically with customers, particularly TSA, BTS and DHS management officials, U.S. Attorneys, and congressional representatives and staff to obtain direct feedback on the results of its work.

OIAPR coordinates with the DHS OIG and TSA offices as necessary as part of the normal course of investigations, program reviews, and the special operations program. We interact with these customers in the following ways:

- Responding to requests for information; referring complaints; providing results of investigations and reviews; and partnering on selected reviews.
- Working with TSA offices during the field review or data gathering portions of OIAPR's activities.
- Briefing TSA officials on the results of reviews and providing written reports.
- Providing corrective recommendations as a result of its work, and requesting TSA officials to report on the status of implementation of corrective actions and conclusions.

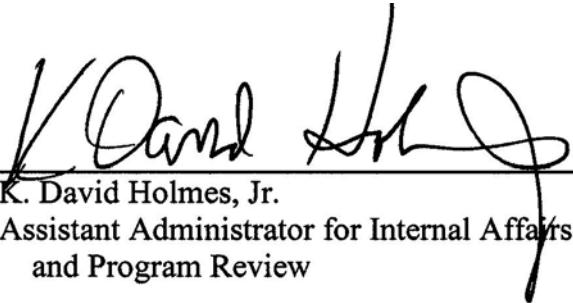
TSA MANAGEMENT DIRECTIVE No. 1200.1
OIAPR ROLES AND RESPONSIBILITIES

- Referring criminal matters for prosecution.
- Referring civil and administrative matters for action.
- Receiving and responding to FOIA requests.
- Providing responses and briefings to congressional representatives.

6. POLICY & PROCEDURES: OIAPR will issue policies and procedures consistent with those of the Department of Homeland Security and the Transportation Security Administration.

7. EFFECTIVE DATE & IMPLEMENTATION:

This policy is effective immediately upon signature.



K. David Holmes, Jr.
Assistant Administrator for Internal Affairs
and Program Review

9/15/03
Date

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